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**A Novel Approach to Modeling and Predicting Crash Frequency at  
Rural Intersections by Crash Type and Injury Severity Level**

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**A Novel Approach to Modeling and Predicting Crash Frequency at  
Rural Intersections by Crash Type and Injury Severity Level**

**by**

**Jun Deng, B.S.**

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## **Dedication**

I am dedicating this thesis to four beloved people who have meant and continue to mean so much to me. First and foremost, to my paternal grandfather Zhongzhu Deng whose love for me knew no bounds and who taught me the value of hard work. Although he is no longer of this world, my memories with him continue to regulate my life. Thank you so much “YeYe”, I will never forget you.

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# **A Novel Approach to Modeling and Predicting Crash Frequency at Rural Intersections by Crash Type and Injury Severity Level**

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Safety at intersections is of significant interest to transportation professionals due to the large number of possible conflicts that occur at those locations. In particular, rural intersections have been recognized as one of the most hazardous locations on roads. However, most models of crash frequency at rural intersections, and road segments in general, do not differentiate between crash type (such as angle, rear-end or sideswipe) and injury severity (such as fatal injury, non-fatal injury, possible injury or property damage only). Thus, there is a need to be able to identify the differential impacts of intersection-specific and other variables on crash types and severity levels. This thesis builds upon the work of Bhat *et al.*, (2013b) to formulate and apply a novel approach for the joint modeling of crash frequency and combinations of crash type and injury severity. The proposed framework explicitly links a count data model (to model crash frequency) with a discrete choice model (to model combinations of crash type and injury severity), and uses a multinomial probit kernel for the discrete choice model and introduces unobserved heterogeneity in both the crash frequency model and the discrete choice model, while also accommodates excess of zeros. The results show that the type of traffic control and the number of entering roads are the most important determinants of crash counts and crash type/injury severity, and the results from our analysis underscore the value of our proposed model for data fit purposes as well as to accurately estimate variable effects.

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## **Chapter 1. Introduction**

Traffic accidents represent an enormous cost to society in terms of property damage, productivity loss, injury and even death. According to the projections of the National Highway Traffic Safety Administration (NHTSA), 34,080 people in the U.S. died in crashes in 2012 (NHTSA, 2013a). This number represents an increase of 5.3% compared to 2011 and, as a result, 2012 is the first year with a year-to-year increase in fatalities since 2005. Additionally, roadway crashes are the leading cause of death in the U.S. among individuals 5-24 years of age (NVSr, 2012), and impose a tremendous emotional and economic burden on society. In this context, intersections are recognized as one of the most hazardous locations for severe injury crashes. In fact, intersection and intersection-related crashes make up about 48% of total crashes (NHTSA, 2013b). This is not surprising, because intersections generate conflicts of movement, are locations of stop-and-go traffic, and correspond to roadway locations with dense traffic. Further, recent research (see Sifrit, 2011) suggests that intersections pose particular hazards in terms of crash and injury to older drivers, attributable to problems in left-turn maneuvers and judgment errors in gap acceptance among older drivers. Thus, and especially as the U.S. population ages, a study of the determinants of the frequency of crashes and severity levels of crashes at intersections is an important subject area in safety research.

Within the pool of intersection crashes, 30% occur at rural intersections and roughly a third of rural crashes involve fatalities (NHTSA, 2011) relative to 15% of urban intersection crashes that involve one or more fatalities. This disparity in fatality rates (given a crash) between rural and urban intersection crashes may be associated with several reasons, including driving situation in rural areas that motorists are less experienced with and slower emergency service response times in rural areas. For example, according to the NHTSA (2013b), the average time from crash occurrence to emergency medical service (EMS) notification in rural areas was 6 minutes in rural areas (compared to 6 minutes in urban areas), the average time from EMS notification to EMS arrival at the crash scene was 12.5 minutes in rural areas (relative to 7 minutes in urban

areas), and the average time from crash occurrence to hospital arrival was 55 minutes in rural areas (compared to 37 minutes in urban areas). Additionally, funds for safety improvements in rural areas, such as lighting and traffic control sign placement, are more scarce compared to urban areas. Thus, understanding the causes of intersection related crashes and associated injury severity levels in general, and in rural areas in particular, should be a priority for transportation and safety professionals in developing crash countermeasures.

In safety research, crash frequency analysis is typically undertaken using count data models such as the Poisson regression and the negative binomial model. Thus, in the case of intersections, the number of crashes at each of several intersections over a period of time (usually a year) is used as the dependent variable, and intersection-specific variables (characterizing intersection geometry, control type at the intersection, and entering traffic flow), as well as other environmental factors, land-use factors, and vehicle mix factors, are used as predictor variables. However, most such models of crash frequency do not differentiate between crash type (such as angle, head-on, rear-end or sideswipe) and injury severity (such as fatal injury, non-fatal injury, possible injury or property damage only). On the other hand, it is likely that intersection-specific and other variables will have differential impacts on different crash types and severity levels. For instance, intersections with stop signs may lead to more rear-end crashes relative to intersections controlled by signal lights. This may be because drivers break more suddenly when arriving at the stop sign and do not leave adequate time for the following driver to stop in time (relative to the case of a signal light), as has been observed by Kim *et al.* (2007). However, there may be relatively little difference between stop-sign controlled intersections and signal controlled intersections in the number of head-on collisions. Further, if the number of rear-end collisions is a small fraction of overall collisions, there may also be little statistically significant difference between stop sign controlled and signal-controlled intersections in the total number of crashes. This is an example of a case where the control type at the intersection has a differential effect on different crash types and ignoring this heterogeneity will, in general, lead to inconsistent

estimates for the count of crashes of each type as well for the total count of crashes. Similarly, intersection and other variables can have differential impacts on the crash counts based on injury severity levels. An example is the effect of lighting on crash counts. The literature suggests that the lack of lighting leads to an increase in fatal crashes in particular relative to other types of crashes (see, for example, Wang *et al.*, 2011). Again, such heterogeneity needs to be accounted for. Finally, it is also possible that intersection and other characteristics differentially impact the number of crashes by the combination of crash type and severity. Thus, stop-sign controlled intersections may have more rear-end collisions of the low injury severity category than crashes of other type-severity combinations.

Clearly, there is a need to distinguish between crashes of different types and different injury severity levels to explicitly accommodate the differential effects of variables on crash frequency by type and injury severity (for ease in presentation, we will also sometimes refer to the combinations of crash types and injury severity levels as *crash event states*). This is important to design appropriate countermeasures specific to each crash event state and also prioritize intersection improvement projects. For instance, an intersection with many fatal crashes may receive higher priority than an intersection with substantially more crashes but of a less severe nature. Further, the financial and other costs of crashes vary substantially based on crash event states. The Federal Highway Administration (FHWA, 2005) estimated the economic costs of crashes by combinations of 6 severity levels, 22 crash types and 2 speed limit categories. The economic costs were computed considering medically-related costs, emergency services, property damage, lost productivity and monetized quality-adjusted life years. Significant differences in economic costs were found in the study. For example, for the same speed limit category, a fatal sideswipe crash has an equivalent monetary cost of \$4.23 million, while a fatal rear-end crash only costs \$3.87 million. Overall, modeling frequency of crashes by type and injury severity is important in site ranking for priority in intervention and road design improvement efforts.

In this study, we formulate and apply a novel approach for the joint modeling of crash frequency and crash type/injury severity that explicitly models the effects of variables on each of these dimensions, while also accommodating the joint nature of these two dimensions. In particular, we propose an integrated parametric framework for multivariate crash count data that is based on linking a univariate count model for the total count of crashes across all possible crash type/severity level states (*i.e.*, crash event states) with a discrete choice model for crash event state given a crash. In this model, a variable that impacts the crash type or severity level of a crash also plays a role in the total count of crashes.

The rest of this thesis is structured as follows. Section 2 presents an overview of the relevant earlier literature and positions the current study. Section 3 presents the model structure and estimation procedure. Section 4 describes the study area for our analysis of crashes, the data source, and sample characteristics. Section 5 presents the empirical estimation results and their implications for safety analysis. Finally, Section 6 concludes the thesis.

## Chapter 2. Literature Review and the Current Thesis

### 2.1 Crash Data Modeling

The study of crash frequency has seen major methodological developments in the last decades. In particular, safety literature has acknowledged the complexity associated with modeling crash data and the importance of developing new approaches to improve the model's predictive capabilities and our understanding of the subject (Lord and Mannering, 2010, Elvik, 2011). Crash data, as indicated before, is often classified according to their injury severity and/or crash type. Some earlier studies have examined crash counts by injury severity separately (Park and Lord, 2007, Pei *et al.*, 2011, Wang *et al.*, 2011, Chiou and Fu, 2013, Ye *et al.*, 2013) or by crash type separately (Qin *et al.*, 2004, Kim *et al.*, 2007, Ye *et al.*, 2009, Bai and Fan, 2012), but not simultaneously by injury severity levels and crash types. Ignoring any one of these dimensions implies dismissing an important missing piece of information for intervention design and can cause losses in estimation efficiency (Lord and Mannering, 2010). To our knowledge, earlier studies in the crash literature have not explicitly modeled the connection between crash frequency, injury severity, and crash type in a unified framework.

From a methodological perspective, the studies identified above and other studies have adopted one of two broad approaches to model multivariate crash count data: (1) multivariate count models and (2) joint discrete choice and count models.<sup>1</sup> Each one of these approaches is discussed briefly and in turn in the next two sections.

#### 2.1.1. Multivariate count models

A multivariate crash count model may be developed using multivariate versions of the Poisson or negative binomial (NB) discrete distributions. These multivariate Poisson and

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<sup>1</sup> Many studies have focused on total crash counts without disaggregation by type and injury severity level. These are not of interest in the current thesis for reasons mentioned earlier. Interested readers may obtain a good overview of such aggregate crash count studies in (Lord and Mannering, 2010 and Castro *et al.*, 2012). Similarly, many studies have developed crash frequency models for each injury severity and/or crash type category independently (see, for example, Shankar *et al.*, 1995, Jonsson *et al.*, 2007 and Venkataraman *et al.*, 2013). Although this method allows identifying high-risk locations and individual factors that affect specific injury levels/crash types, it does not recognize the joint nature of the crash data.

NB models have the advantage of a closed form, but they become cumbersome as the number of event states increase, and they can only accommodate a positive correlation in the crash counts (see Savolainen *et al.*, 2011 and Chiou and Fu, 2013) for a listing of earlier crash studies that have used these multivariate count model structures). Alternatively, one may use a mixing structure, in which one or more random terms are introduced in the parameterization of the mean for the number of crashes in each event state. The most common form of such a mixture is to include normally distributed terms within the exponentiated mean function of the Poisson distribution for each crash count variable. If a multivariate distribution is assumed for these normal error terms across the different count event states, this leads to a multivariate count model. In such a model, the probability of the multivariate counts entails integration over the random terms (see, for example, Chib and Winkelmann, 2001, Haque *et al.*, 2010 and Awondo *et al.*, 2011). This is essentially the form of the multivariate Poisson-log normal model used recently in the crash analysis literature (see, for example, Park and Lord, 2007, El-Basyouny and Sayed, 2009 and Bai and Fan, 2012). The advantage of this method is that it permits both positive and negative dependency between the counts, but the limitation is that the approach gets quickly cumbersome in the presence of several crash event states. Another related problem with these multivariate count models is that there are likely to be excess zeros in each crash event category. This necessitates the use zero-inflated and hurdle-count techniques. Unfortunately, such techniques, while simple to implement in a univariate count setting, become extremely difficult, if not infeasible, in a multivariate setting (see Lee *et al.*, 2006, Herriges *et al.*, 2008, Alfò and Maruotti, 2010 and Narayanamoorthy *et al.*, 2013).<sup>2</sup> Moreover, these multivariate count models do not differentiate the effect of explanatory variables on crash frequency and crash severity

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<sup>2</sup> An alternative approach to analyze crash rates (for example, number of crashes per 100 million vehicle miles of travel) by injury severity level in the presence of excess zeros is to translate the dependent variable vector from a multivariate count to a multivariate continuous variable. For example, to address the preponderance of zero values, Anastasopoulos *et al.* (2012) developed a multivariate Tobit-regression model to analyze crash rates by injury severity level. However, the likelihood estimation approach again becomes cumbersome and presents a computational challenge when there are many Tobit regressions in the multivariate set-up.

levels/crash types. That is, the multivariate models rely on a specification for the statistical expectation of crashes of each type/injury severity level, and then use statistical “stitching” devices to accommodate correlations in the multivariate counts. Doing so does not allow for the potentially complex effects of variables on the counts of crash event states based on separate effects on total crash frequency and crash event states. For example, a change from a stop light to a flashing light system at an intersection may reduce the probability of a rear-end collision (because motorists see the flashing light from a distance) conditional on a crash, but also increase the overall frequency of crashes because of potential confusion caused by flashing lights (see Polanis, 2002, Srinivasan *et al.*, 2008 and Castro *et al.*, 2012). Thus, in such a situation, while the count of non-rear-end collisions will increase because of a change from a stop sign to a flashing light control, the count of rear-end collisions may increase or decrease, depending on whether the overall count of crashes caused by general confusion overcomes or not the decrease in rear-end collisions given a crash. More importantly, in this specific example, the net result on rear-end collisions will vary across intersections based on other intersection characteristics (because count models are non-linear models), and the only way to even try to mimic these complex effects in a multivariate model would be to allow the covariance matrix to vary by intersection characteristics. This is a tall order for a multivariate model system, and all extant multivariate models assume a fixed covariance structure across the event count states across intersections, which, in general, will not reflect the true impact of variables on crashes by event states.

### ***2.1.2. Joint count and discrete choice and models***

A second approach uses a strictly hierarchical combination of a count model to analyze total crashes and a discrete choice model that allocates the total count to different injury severity levels/crash types (see, for example, Kim *et al.*, 2007, Huang *et al.*, 2008 and Yu and Abdel-Aty, 2013). Also, the many studies in the literature that focus solely on total crashes or solely on injury severity/crash type conditioned on a crash implicitly assume such a strictly hierarchical mechanism for predicting crashes by injury severity



level/crash type. In this hierarchical setting, the probability of the observed counts in each injury severity level/crash type, given the total count, takes a multinomial distribution form (see Terza and Wilson, 1990). This structure, while easy to estimate and implement, is not very realistic for crash analysis. Thus, for example, reconsider the case of a stop-sign controlled and a signal controlled intersection. Assume for now that the difference between these two types of controls gets manifested in the crash type model conditioned on a crash (because of say fewer rear-end collisions in the case of a signal-controlled intersection). But say the difference between these two control types does not get included in the total crash model because of statistical insignificance (after all, rear-end collisions are but a small fraction of total crashes, because of which the difference in total crashes between stop-sign and signal controlled intersections in the sample may not be adequate to tease out a statistically significant effect of different controls in the total crash model).<sup>3</sup> The necessary implication then is that stop sign controlled intersections have fewer rear-end collisions relative to signal-controlled intersections, but a higher number of non-rear-end collisions (because the total number of crashes is not affected by control type). This may not reflect ground reality. An alternate and more appealing structure is one that explicitly links the event state discrete choice model with the total crash count model. In this structure, one may use the expected value of the highest crash type/injury severity risk propensity at an intersection from the event state multinomial model as an explanatory variable in the conditional expectation for the total crash count at the intersection (see Mannering and Hamed, 1990, Hausman *et al.*, 1995, and Rouwendal and Boter, 2009 for such a link between a choice model and a count model). This explanatory variable may be viewed as a measure of the expected overall crash propensity at the intersection. But a problem with this structure is that it fails to recognize the effects of unobserved factors in the event state crash propensities on the total crash count (because only the expected value enters the count model intensity, with no mapping of the event

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<sup>3</sup> Such occurrences will be especially common place as the number of disaggregate event states (crash severity level and crash types) increases, since the number of crashes in each event state will be but a small fraction of total crashes.

type propensity errors into the count intensity). On the other hand, the factors in the unobserved portions of event state crash propensities must also influence the total crash count intensity just as the observed factors in the event state crash propensities do. This is essential to recognize the full econometric jointness between the event state (given a crash) and the total crash count. In the case when a generalized extreme value (GEV) model is used for the event state (as has been done in the past), the maximum over the crash propensities is also GEV distributed, but including the resulting error term in the count intensity leads to distributional mismatch issues. As indicated by Burda *et al.* (2012), while the situation may be resolved by using Bayesian augmentation procedures, these tend to be difficult to implement, particularly when random variations across observation units (intersections in our case) in the effects of are also present in the event choice model.

## **2.2 The Current Thesis**

In the current thesis, we use the second approach discussed above, while also accommodating the full jointness in the total crash count and crash event state (crash type and injury severity level) components of the model system. In doing so, we use a multinomial probit (MNP) model for the crash event state discrete model (conditional on a crash), rather than the traditional multinomial logit (MNL) or nested logit (NL) kernel used in earlier studies (as indicated by Lord and Mannering, 2010, no study in the safety literature on injury severity or crash type has used an MNP model, leave alone combining such a model with a total crash count model). The use of the MNP kernel allows a more flexible covariance structure for the event states relative to traditional GEV kernels. In our modeling framework, the MNP model also facilitates the linkage between the crash event state and the total crash count components of the joint model system. In addition, the model system allows random variations (or unobserved heterogeneity) in the sensitivity to exogenous factors in both the crash event state (crash type/injury severity) model as well as the total crash count components. The approach is based on the joint discrete and count model proposed by Bhat *et al.* (2013b), which uses a latent variable-

based generalized ordered response model representation for count data models (see Castro et al., 2012 to gainfully and efficiently introduce the linkage from the crash type/injury severity model to the crash frequency model. The formulation also allows handling excess of zeros in a straightforward manner (or excess counts of any value), which is a common characteristic of crash counts (see Lord, 2006). The resulting joint model is estimated using Bhat's (2011) frequentist MACML (for maximum composite marginal likelihood) approach.

The approach is applied in a demonstration exercise to examine the number of motor vehicle crashes at rural intersections in Central Texas by combinations of four crash types and three injury severity levels. The data for the analysis is drawn from the Texas Department of Transportation crash incident files. Explanatory variables considered in the analysis include intersection attributes and major road characteristics.<sup>4</sup>

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<sup>4</sup> The major and minor roads of the intersection are defined as a function of the entering traffic flow. The database collected by the Texas Department of Transportation only includes characteristics of the major road; characteristics of the minor road(s) are not available.

## Chapter 3. Modeling Framework

### 3.1 Model Formulation

Let  $q$  ( $q = 1, 2, \dots, Q$ ) be an index to represent intersections and let  $i$  ( $i = 1, 2, \dots, I$ ) be an index to represent crash event states (*i.e.*, combinations of crash types and injury severity levels). In the empirical demonstration exercise in this thesis, there are four crash types (single vehicle crash, angle crash with another vehicle, rear-end crash with another vehicle, and other crash types) and three injury severity levels (no injury, possible injury, and confirmed injury). The precise definitions of the crash types and injury severity levels are provided later in Section 4.1. Thus, there are 12 possible crash event states ( $I = 12$ ). Let  $k$  ( $k = 0, 1, 2, \dots, \infty$ ) be the index to represent total crash frequency and let  $n_q$  be the total number of crashes at intersection  $q$  over a certain period of interest ( $n_q$  takes a specific value in the domain of  $k$ ). Each count unit contribution to the total count  $n_q$  of crashes at intersection  $q$  corresponds to a crash instance in which one of the  $I$  event states is manifested. Let  $t$  be an index for crash instance, so that  $t$  takes the values from 1 to  $n_q$  for intersection  $q$ . As a result, the crash event discrete model takes the form of a panel discrete choice model, with  $n_q$  crash observations from intersection  $q$ . The resulting data allows the estimation of intersection-specific unobserved factors that influence the intrinsic propensity risk of each crash event state as well as the effects of other exogenous variables.

The next section (Section 3.1.1) presents the formulation for the crash event state model, while the subsequent section (Section 3.1.2) develops the basic latent variable formulation for the total crash frequency model. Section 3.1.3 presents the linkage specification between the event state and the total count models. In the rest of this thesis, we will also use the following key notations:  $MVN_R(\mathbf{b}, \mathbf{\Sigma})$  for the multivariate normal distribution of  $R$  dimensions with mean vector  $\mathbf{b}$  and covariance matrix  $\mathbf{\Sigma}$ ,  $\mathbf{IDEN}_R$  for an identity matrix of dimension  $R$ ,  $\mathbf{1}_R$  for a column vector of ones of dimension  $R$ ,

$\mathbf{0}_R$  for a column vector of zeros of dimension  $R$ , and  $\mathbf{1}_{RR}$  for a matrix of ones of dimension  $R \times R$ .

### 3.1.1 Crash event state model

Let the propensity of observing crash event state  $i$  at crash instance  $t$  at intersection  $q$  be  $S_{qti}$ , and write this propensity as a function of a  $(D \times 1)$  crash-level exogenous variable vector  $\mathbf{x}_{qi}$  ( $\mathbf{x}_{qi}$  includes a constant for all event states except one) as follows:

$$S_{qti} = \boldsymbol{\beta}'_q \mathbf{x}_{qi} + \tilde{\varepsilon}_{qti}; \quad \boldsymbol{\beta}_q = \mathbf{b} + \tilde{\boldsymbol{\beta}}_q, \quad \tilde{\boldsymbol{\beta}}_q \sim MVN_D(\mathbf{0}_D, \boldsymbol{\Omega}), \quad (1)$$

where  $\boldsymbol{\beta}_q$  is an intersection-specific  $(D \times 1)$ -column vector of corresponding coefficients.  $\tilde{\boldsymbol{\beta}}_q$  is assumed to be a realization from a multivariate normal density function with mean vector  $\mathbf{b}$  and covariance matrix  $\boldsymbol{\Omega}$  (this specification allows intersection-specific variation in the effects of exogenous variables due to unobserved intersection/road attributes).  $\tilde{\varepsilon}_{qti}$  is assumed to be an independently and identically distributed (across crash instances and across intersections) error term, but having a general covariance structure across crash event states at each crash instance. Thus, consider the  $(I \times 1)$ -vector  $\tilde{\boldsymbol{\varepsilon}}_{qt} = (\tilde{\varepsilon}_{qt1}, \tilde{\varepsilon}_{qt2}, \tilde{\varepsilon}_{qt3}, \dots, \tilde{\varepsilon}_{qtI})'$  and assume that  $\tilde{\boldsymbol{\varepsilon}}_{qt} \sim MVN_I(\mathbf{0}_I, \boldsymbol{\Theta})$ .

We now set out some additional notation. Define  $\mathbf{S}_{qt} = (S_{qt1}, S_{qt2}, \dots, S_{qtI})'$  ( $I \times 1$  vector),  $\mathbf{S}_q = (\mathbf{S}'_{q1}, \mathbf{S}'_{q2}, \dots, \mathbf{S}'_{qn_q})'$  ( $n_q \times I$  matrix),  $\tilde{\boldsymbol{\varepsilon}}_{qt} = (\tilde{\varepsilon}_{qt1}, \tilde{\varepsilon}_{qt2}, \dots, \tilde{\varepsilon}_{qtI})'$  ( $I \times 1$  vector),  $\tilde{\boldsymbol{\varepsilon}}_q = (\tilde{\boldsymbol{\varepsilon}}'_{q1}, \tilde{\boldsymbol{\varepsilon}}'_{q2}, \dots, \tilde{\boldsymbol{\varepsilon}}'_{qn_q})'$  ( $n_q \times I$  matrix), and  $\mathbf{x}_q = (\mathbf{x}_{q1}, \mathbf{x}_{q2}, \dots, \mathbf{x}_{qI})'$  ( $I \times D$  matrix). Then, we can write:

$$\mathbf{S}_q = (\mathbf{1}_{n_q} \otimes [\mathbf{x}_q \mathbf{b}]) + (\mathbf{1}_{n_q} \otimes [\mathbf{x}_q \tilde{\boldsymbol{\beta}}_q]) + \tilde{\boldsymbol{\varepsilon}}_q = \mathbf{V}_q + \boldsymbol{\varepsilon}_q, \quad (2)$$

where  $\mathbf{V}_q = \mathbf{1}_{n_q} \otimes [\mathbf{x}_q \mathbf{b}]$  and  $\boldsymbol{\varepsilon}_q = \mathbf{1}_{n_q} \otimes [\mathbf{x}_q \tilde{\boldsymbol{\beta}}_q] + \tilde{\boldsymbol{\varepsilon}}_q$ .

Next, let the crash event type observed at the  $t^{\text{th}}$  crash instance at intersection  $q$  be  $c_{qt}$  ( $c_{qt} \in 1, 2, \dots, I$ ). Define  $\mathbf{C}_q$  as a  $[n_q \times (I-1)] \times [n_q I]$  block diagonal matrix, with each block diagonal having  $(I-1)$  rows and  $I$  columns corresponding to the  $t^{\text{th}}$  crash instance at intersection  $q$ . This  $(I-1) \times I$  matrix for intersection  $q$  and crash instance  $t$  corresponds to an  $(I-1)$  identity matrix with an extra column of  $-1$  values added as the  $c_{qt}^{\text{th}}$  column. In the propensity differential form (where the propensity differentials are taken with respect to the observed crash event state  $c_{qt}$  at each crash instance), we may write Equation (2) as:

$$\mathbf{s}_q^* = \mathbf{C}_q \mathbf{S}_q = \mathbf{C}_q \mathbf{V}_q + \mathbf{C}_q \boldsymbol{\varepsilon}_q. \quad (3)$$

Then, define  $\tilde{\boldsymbol{\Omega}}_q = \mathbf{1}_{n_q n_q} \otimes [\mathbf{x}_q \boldsymbol{\Omega} \mathbf{x}_q']$  ( $n_q I \times n_q I$  matrix) and  $\tilde{\boldsymbol{\Theta}} = \mathbf{IDEN}_{n_q} \otimes \boldsymbol{\Theta}$  ( $n_q I \times n_q I$  matrix). Let  $\mathbf{H}_q = \mathbf{C}_q \mathbf{V}_q$  and  $\mathbf{A}_q = \mathbf{C}_q (\tilde{\boldsymbol{\Omega}}_q + \tilde{\boldsymbol{\Theta}}) \mathbf{C}_q'$ . Finally, we obtain the result below:

$$\mathbf{s}_q^* \sim MVN_{n_q \times (I-1)}(\mathbf{H}_q, \mathbf{A}_q). \quad (4)$$

The parameters to be estimated include the  $\mathbf{b}$  vector, and the elements of the covariance matrices  $\boldsymbol{\Omega}$  and  $\boldsymbol{\Theta}$ .<sup>5</sup> The likelihood contribution of intersection  $q$  is the  $(n_q \times (I-1))$ -dimensional integral below:

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<sup>5</sup> Due to identification considerations (see Bhat *et al.*, 2013b), and if a very general covariance matrix is adopted, we can only estimate a subset of the elements of  $\boldsymbol{\Theta}$ . While many normalizations may be used, we consider the covariance matrix of the difference of the error terms  $\tilde{\varepsilon}_{qti}$  with respect to the first error term  $\tilde{\varepsilon}_{qt1}$ . That is, we consider the  $(I-1) \times (I-1)$  covariance matrix  $\boldsymbol{\Theta}_1$  of  $\boldsymbol{\varepsilon}_{qt1}$ , where  $\boldsymbol{\varepsilon}_{qt1} = (\varepsilon_{qt21}, \varepsilon_{qt31}, \dots, \varepsilon_{qtI1})$  and  $\boldsymbol{\varepsilon}_{qti1} = (\tilde{\varepsilon}_{qti} - \tilde{\varepsilon}_{qt1}), i \neq 1$ . The top diagonal matrix of  $\boldsymbol{\Theta}_1$  is constrained to one as a scale identification. In the estimation process,  $\boldsymbol{\Theta}$  is effectively constructed from  $\boldsymbol{\Theta}_1$  by adding a top row of zeros and a first column of zeros. Of course, one can place structure directly on  $\boldsymbol{\Theta}$  to obtain identification without estimating a general covariance matrix. Doing so is particularly appealing when the number of alternatives is large, such as in our empirical context where  $I = 12$ . Thus, in our empirical context, we tested several error component structures starting from a covariance matrix corresponding to an error component specific to each crash type and each injury severity level. This specification accommodates unobserved crash-specific characteristics that affect each injury severity level across all

$$L_{q, \text{crash event state}}(\mathbf{b}, \mathbf{\Omega}, \mathbf{\Theta}) = P(s_q^* < 0) = \Phi_{n_q \times (I-1)} \left[ (\mathbf{\omega}_{\mathbf{A}_q})^{-1} (-\mathbf{H}_q), (\mathbf{\omega}_{\mathbf{A}_q})^{-1} \mathbf{A}_q (\mathbf{\omega}_{\mathbf{A}_q})^{-1} \right], \quad (5)$$

where  $\mathbf{\omega}_{\mathbf{A}_q}$  is the diagonal matrix of standard deviations of  $\mathbf{A}_q$ .

The above likelihood function has a high dimensionality of integration, especially when the total number of crashes  $n_q$  and/or the number of crash event states  $I$  is high. To resolve this, we use the MACML approach proposed by Bhat (2011), which involves the evaluation of only univariate and bivariate cumulative normal distribution evaluations. However, note that the parameters from this model will also appear in the crash frequency model, and hence we discuss the overall estimation procedure for the joint model in Section 3.2.

### 3.1.2 Crash frequency model

The crash frequency model is based on a Generalized Ordered Response Probit (GORP) representation for count models formulated by Castro *et al.* (2012), who show that any count model may be reformulated as a special case of a GORP model in which a single latent continuous variable is partitioned into mutually exclusive intervals. This representation generalizes traditional count models, can exactly reproduce any traditional count data model, and allows handling excess zeros with ease.

Define the latent crash propensity for intersection  $q$  as  $y_q^*$  and consider the following structure:

$$y_q^* = \boldsymbol{\theta}_q' \mathbf{w}_q + \xi_q, \quad y_q = k \quad \text{if} \quad \psi_{q,k-1} < y_q^* < \psi_{qk}, \quad \text{with} \quad \psi_{qk} = f_k(z_q) + \alpha_k, \quad (6)$$

where  $\mathbf{w}_q$  is an  $(L \times 1)$ -column vector of exogenous attributes (excluding a constant),  $\boldsymbol{\theta}_q$  is a corresponding  $(L \times 1)$ -column vector of intersection-specific variable effects, and  $\xi_q$

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types of crashes (for example, a crash-instance specific slippery pavement condition that increases the propensity of severe injuries of all crash types) and that affect each crash type across all injury severity levels (such as a temporary construction condition that increases the propensity of angled crashes of all injury severity levels). Note that one can use a similar (and efficient) error components structure at the intersection level for the random coefficients.

is a random error term assumed to be identically and independently standard normal distributed across intersections.  $\theta_q$  is a realization from a multivariate normal density function with mean vector  $\theta$  and covariance matrix  $\Xi$ , such that  $\theta_q = \theta + \tilde{\theta}_q$  and  $\tilde{\theta}_q \sim MVN_L(\theta_L, \Xi)$  is independent of  $\xi_q$  ( $\tilde{\theta}_q$  is an intersection-specific coefficient vector introduced to account for unobserved heterogeneity in the latent crash propensity). The latent crash propensity  $y_q^*$  is mapped to the observed ordinal variable  $y_q$  by the thresholds  $\psi_{qk}$ , which satisfy the ordering conditions ( $\psi_{q,-1} = -\infty$ ;  $-\infty < \psi_{q0} < \psi_{q1} < \psi_{q2} < \dots$ ) in the usual ordered-response fashion,  $f_k(\mathbf{z}_q)$  is a non-linear function of a vector of intersection-specific variables  $\mathbf{z}_q$  ( $\mathbf{z}_q$  includes a constant), and  $\alpha_k$  is a scalar similar to the thresholds in a standard ordered-response model ( $\alpha_{-1} = -\infty$ ;  $\alpha_0 = 0$  for identification, and  $0 < \alpha_1 < \alpha_2 < \dots$ ). Write

$f_k(\mathbf{z}_q) = \Phi^{-1}\left(e^{-\lambda_q} \sum_{l=0}^k \frac{\lambda_q^l}{l!}\right)$ , so that the thresholds in Equation (6) take the following

form:

$$\psi_{qk} = \Phi^{-1}\left(e^{-\lambda_q} \sum_{l=0}^k \frac{\lambda_q^l}{l!}\right) + \alpha_k, \text{ with } \lambda_q = e^{\gamma \mathbf{z}_q}, \text{ and } \alpha_k = \alpha_{K^*} \text{ if } k > K^*, \quad (7)$$

where  $\Phi^{-1}$  is the inverse function of the univariate cumulative standard normal,  $\gamma$  is a coefficient vector to be estimated, and  $K^*$  is an appropriate count level that may be determined based on the empirical context under consideration and empirical testing. The presence of the  $\alpha_k$  term provides flexibility to accommodate high or low probability masses for specific count outcomes without the need for using hurdle or zero-inflated mechanisms. Also note that  $\mathbf{w}_q$  and  $\mathbf{z}_q$  can have common elements.

The proposed crash frequency model can be motivated from an intuitive standpoint. In our empirical context, the latent *long-term* crash propensity  $y_q^*$  of



intersection  $q$  may be impacted by intersection-specific variables that would get manifested in the  $\mathbf{w}_q$  vector. On the other hand, there may be some specific intersection characteristics (embedded in  $\mathbf{z}_q$ ) that may increase/decrease the likelihood of crash occurrence at any given *instant of time* for a given long-term crash propensity  $y_q^*$ . The presence of intersection characteristics in  $\mathbf{z}_q$  allows intersections with the same latent crash propensity to have different observed crash frequency outcomes. The reader is referred to Castro *et al.* (2012) for more details of the intuitive interpretation of the GORP recasting of count models.

### 3.1.3. Joint crash frequency - crash event state model

At each crash instance, a measure of the overall crash propensity may be obtained as the maximum of the value across the crash event state (type/injury severity level) risk propensities. This variable can then be included as an explanatory variable in the crash frequency model along with other variables. To develop this link, consider the expression for the crash risk propensity of crash event state  $i$  at crash instance  $t$  ( $t = 1, 2, \dots, n_q$ ) at intersection  $q$  in Equation (1). Because the exogenous variables (and the corresponding coefficients) are specific to each intersection, and the error terms  $\tilde{\epsilon}_{qti}$  are assumed to be independently and identically distributed (across crash instances and across intersections), we may write the crash risk propensity of crash event state  $i$  at intersection  $q$  (regardless of crash instance  $t$ ) as  $\tilde{S}_{qi}$ , and write this crash propensity from Equation (1) as:

$$\tilde{S}_{qi} = \boldsymbol{\beta}_q' \mathbf{x}_{qi} + \tilde{\epsilon}_{qi}; \boldsymbol{\beta}_q = \mathbf{b} + \tilde{\boldsymbol{\beta}}_q, \tilde{\boldsymbol{\beta}}_q \sim MVN_D(\boldsymbol{\theta}_D, \boldsymbol{\Omega}). \quad (8)$$

Define  $\tilde{\mathbf{S}}_q = (\tilde{S}_{q1}, \tilde{S}_{q2}, \dots, \tilde{S}_{qI})'$  ( $I \times 1$  vector) and  $\tilde{\boldsymbol{\epsilon}}_q = (\tilde{\epsilon}_{q1}, \tilde{\epsilon}_{q2}, \dots, \tilde{\epsilon}_{qI})'$  ( $I \times 1$  vector), such that  $\tilde{\boldsymbol{\epsilon}}_q \sim MVN_I(\boldsymbol{\theta}_I, \boldsymbol{\Theta})$ . Then, we may write:

$$\tilde{\mathbf{S}}_q = (\mathbf{x}_q \mathbf{b}) + (\mathbf{x}_q \tilde{\boldsymbol{\beta}}_q + \tilde{\boldsymbol{\varepsilon}}_q). \quad (9)$$

The vector  $\tilde{\mathbf{S}}_q$  is normally distributed as follows:  $\tilde{\mathbf{S}}_q \sim MVN_I(\mathbf{d}_q, \boldsymbol{\Sigma}_q)$ , where  $\mathbf{d}_q = \mathbf{x}_q \mathbf{b}$  and  $\boldsymbol{\Sigma}_q = \mathbf{x}_q \boldsymbol{\Omega} \mathbf{x}_q' + \boldsymbol{\Theta}$ . Write the maximum of the value across the crash event state risk propensities as  $\eta_q = \text{Max}(\tilde{\mathbf{S}}_q)$ . Then, we can introduce this variable in the crash frequency model of Equation (6) as follows:

$$y_q^* = (\boldsymbol{\theta} + \tilde{\boldsymbol{\theta}}_q)' \mathbf{w}_q + \vartheta \eta_q + \xi_q, \quad y_q = k \text{ if } \psi_{q,k-1} < y_q^* < \psi_{qk}, \quad k \in \{0, 1, 2, \dots, \infty\},$$

with  $\psi_{qk} = \Phi^{-1} \left( e^{-\lambda_q} \sum_{l=0}^k \frac{\lambda_q^l}{l!} \right) + \alpha_k$ , where  $\lambda_q = e^{\gamma z_q}$ ,  $\psi_{q,-1} = -\infty$ , and  $\alpha_0 = 0$ . (10)

The parameter  $\vartheta$  is the linkage parameter, as it associates the crash event state model with the crash frequency model. The long-term crash propensity in Equation (10) may be re-written:

$$y_q^* = \vartheta \eta_q + W_q, \text{ where } W_q \sim N(\mu_q, v_q^2), \mu_q = \boldsymbol{\theta}' \mathbf{w}_q, v_q^2 = \mathbf{w}_q' \boldsymbol{\Xi} \mathbf{w}_q + 1. \quad (11)$$

Then, using the results of Bhat *et al.* (2013b), the cumulative distribution function  $H$  of  $y_q^*$  is:

$$H(u; \mathbf{d}_q, \boldsymbol{\Sigma}_q, \vartheta, \mu_q, v_q^2) = F_I \left[ u \mathbf{1}_I; \left( \vartheta \mathbf{d}_q + \mu_q \mathbf{1}_I \right), \left( \vartheta^2 \boldsymbol{\Sigma}_q + \text{IDEN}_I v_q^2 \right) \right], \quad (12)$$

where  $F_I$  is the multivariate normal cumulative distribution function of dimension  $I$ . Finally, the likelihood function from the total count model, given that the observed count level of intersection  $q$  is  $n_q$ , may be written as:

$$L_{q,\text{count}}(\mathbf{b}, \boldsymbol{\Omega}, \boldsymbol{\Theta}, \boldsymbol{\theta}, \boldsymbol{\Xi}, \gamma, \vartheta) = H(\psi_{q,n_q}; \mathbf{d}_q, \boldsymbol{\Sigma}_q, \vartheta, \mu_q, v_q^2) - H(\psi_{q,n_q-1}; \mathbf{d}_q, \boldsymbol{\Sigma}_q, \vartheta, \mu_q, v_q^2). \quad (13)$$

The likelihood function above involves the computation of an  $I$ -dimensional integral.

### 3.2 Model Estimation

The overall likelihood function for the joint crash frequency-crash event state model may be obtained from Equations (5) and (13) as follows:

$$L_q(\mathbf{b}, \mathbf{\Omega}, \mathbf{\Theta}, \theta, \mathbf{\Xi}, \gamma, \vartheta) = L_{q, \text{crash event state}}(\mathbf{b}, \mathbf{\Omega}, \mathbf{\Theta}) \times L_{q, \text{count}}(\mathbf{b}, \mathbf{\Omega}, \mathbf{\Theta}, \theta, \mathbf{\Xi}, \gamma, \vartheta). \quad (14)$$

To address the issue of the high dimensionality of integration in  $L_{q, \text{crash event state}}$  (of dimension  $n_q \times (I - 1)$ ) in the above function, we replace the log-likelihood from the event state model with a composite marginal likelihood (CML),  $L_{q, \text{crash event state}}^{CML}$ . The CML approach, which belongs to the more general class of composite likelihood function approaches (see (Lindsay, 1988)), may be explained in a simple manner as follows. In the crash event state model, instead of developing the likelihood of the entire sequence of repeated observations (crashes) from the same intersection, consider developing a surrogate likelihood function that is the product of the probability of easily computed marginal events. For instance, one may compound (multiply) pairwise probabilities of outcome  $c_{qt}$  at intersection  $q$  at crash instance  $t$  and outcome  $c_{qt'}$  at intersection  $q$  at crash instance  $t'$ , of outcome  $c_{qt}$  at intersection  $q$  at crash instance  $t$  and outcome  $c_{qt''}$  at intersection  $q$  at crash instance  $t''$ , and so forth. The CML estimator (in this instance, the pairwise CML estimator) is then the one that maximizes the compounded probability of all pairwise events. The properties of the CML estimator may be derived using the theory of estimating equations (see Cox and Reid, 2004, Yi *et al.*, 2011). Specifically, under usual regularity assumptions (Molenberghs and Verbeke, 2005, Xu and Reid, 2011), the CML estimator is consistent and asymptotically normal distributed, and its covariance matrix is given by the inverse of (Godambe, 1960) sandwich information matrix (see Zhao and Joe, 2005).

Letting the index of the crash outcome at crash instance  $t$  at intersections  $q$  to be  $M_{qt}$ , the CML function for the crash event state model for intersection  $q$  may be written as:

$$\begin{aligned}
L_{q,crash\ event\ state}^{CML} &= \prod_{t=1}^{n_q-1} \prod_{t'=t+1}^{n_q} Prob(M_{qt} = c_{qt}, M_{qt'} = c_{qt'}) \\
&= \prod_{t=1}^{n_q-1} \prod_{t'=t+1}^{n_q} Prob(s_{qt}^* < 0 \text{ and } s_{qt'}^* < 0) = \prod_{t=1}^{n_q-1} \prod_{t'=t+1}^{n_q} Prob(\tilde{s}_{qtt'}^* < 0)
\end{aligned} \tag{15}$$

where  $\tilde{s}_{qtt'}^* = \left[ \left( s_{qt}^* \right)', \left( s_{qt'}^* \right)' \right]'$ . Then,

$$P(\tilde{s}_{qtt'}^* < 0) = \Phi_{2 \times (I-1)} \left( (\tilde{\omega}_{A_{qtt'}})^{-1} (-\tilde{H}_{qtt'}); (\tilde{\omega}_{A_{qtt'}})^{-1} A_{qtt'} (\tilde{\omega}_{A_{qtt'}})^{-1} \right) \tag{16}$$

where  $\tilde{H}_{qtt'} = (H'_{qt}, H'_{qt'})'$ ,  $H_{qt}$  is the sub-vector of  $H_q$  that includes elements corresponding to the  $t^{\text{th}}$  crash instance,  $A_{qtt'}$  is the 2x2-sub-matrix of  $A_q$  that includes elements corresponding to the  $t^{\text{th}}$  and  $t'^{\text{th}}$  crash instances, and  $\tilde{\omega}_{A_{qtt'}}$  is the diagonal matrix of the standard deviations of  $A_{qtt'}$ . Finally, the function to be maximized to obtain the parameters is:

$$L_q^{CML}(\mathbf{b}, \mathbf{\Omega}, \mathbf{\Theta}, \theta, \mathbf{\Xi}, \gamma, \vartheta) = L_{q,crash\ state\ event}^{CML}(\mathbf{b}, \mathbf{\Omega}, \mathbf{\Theta}) \times L_{q,count}(\mathbf{b}, \mathbf{\Omega}, \mathbf{\Theta}, \theta, \mathbf{\Xi}, \gamma, \vartheta) \tag{17}$$

The  $L_{q,crash\ event\ state}^{CML}$  component in the equation above entails the evaluation of a multivariate normal cumulative distribution (MVNCD) function of dimension equal to  $(I-1) \times 2$ , while the  $L_{q,count}$  component involves the evaluation of a MVNCD function of dimension  $I$ . But these may be evaluated using the approximation part of the maximum approximate composite marginal likelihood (MACML) approach of Bhat (2011), leading to solely bivariate and univariate cumulative normal function evaluations.

One additional issue still needs to be dealt with. This concerns the positive definiteness of several matrices in Equation (17). Specifically, for the estimation to work, we need to ensure the positive definiteness of the following matrices:  $\mathbf{\Omega}$ ,  $\mathbf{\Theta}$ , and  $\mathbf{\Xi}$ . This can be guaranteed in a straightforward fashion using a Cholesky decomposition

approach (by parameterizing the function in Equation (17) in terms of the Cholesky-decomposed parameters).

### 3.3 Model Fit Issues

#### 3.3.1 Model selection

Procedures similar to those available with the maximum likelihood approach are also available for model selection with the CML approach (see Varin and Vidoni, 2008). The statistical test for a single parameter may be pursued using the usual t-statistic. When the statistical test involves multiple parameters between two nested models, an appealing statistic, which is also similar to the likelihood ratio test in ordinary maximum likelihood estimation, is the adjusted composite likelihood ratio test (*ADCLRT*) statistic (see Pace *et al.*, 2011 and Bhat, 2011 for details).

#### 3.3.2 Disaggregate measures of fit

To evaluate the model predictions at a disaggregate level, we first define  $\mathbf{R}_i$  ( $i = 1, 2, \dots, I$ ) as an  $(I-1) \times I$  matrix that corresponds to an  $(I-1)$  identity matrix with an extra column of  $-1$ 's added as the  $i^{\text{th}}$  column. Following the notation in Equation (10) and immediately after, define  $\mathbf{G}_{qi} = \mathbf{R}_i \boldsymbol{\Sigma}_q \mathbf{R}_i'$ . We can then write the probability that intersection  $q$  exhibits crash event state  $i$  at any crash instance as:

$$P_{qi} = P[\mathbf{C}_{qi} \tilde{\mathbf{S}}_q < \boldsymbol{\theta}_{I-1}] = \Phi_{(I-1)} \left[ (\boldsymbol{\omega}_{\mathbf{G}_q})^{-1} (-\mathbf{d}_q), (\boldsymbol{\omega}_{\mathbf{G}_q})^{-1} \mathbf{G}_{qi} (\boldsymbol{\omega}_{\mathbf{G}_q})^{-1} \right]. \quad (18)$$

where  $\boldsymbol{\omega}_{\mathbf{G}_q}$  is the diagonal matrix of standard deviations of  $\mathbf{G}_q$ . Next, since this probability does not change across crash instances, and the intersection-specific effects of are already embedded in the intersection-specific vector  $\tilde{\mathbf{S}}_q$  (through the  $\boldsymbol{\beta}_q$  vector), the multivariate probability of counts in each crash event state, conditional on the total

count level for intersection  $q$  being  $k_q$  ( $k_q > 0$ ), takes the usual multinomial distribution form:

$$P[(y_{q1} = k_{q1}), (y_{q2} = k_{q2}), \dots, (y_{qI} = k_{qI}) | k_q] = \frac{k_q!}{\prod_{i=1}^I k_{qi}!} \prod_{i=1}^I (P_{qi})^{k_{qi}}. \quad (19)$$

In our joint crash frequency-crash event state model, the unconditional multivariate probability then takes the form indicated below ( $k_q = \sum_{i=1}^I k_{qi}$ ,  $k_{qi} = 0, 1, 2, \dots, \infty$ ,  $k_q = 0, 1, 2, \dots, \infty$ ):

$$P[(y_{q1} = k_{q1}), (y_{q2} = k_{q2}), \dots, (y_{qI} = k_{qI})] = P[y_q = k_q] \times \left( \frac{k_q!}{\prod_{i=1}^I k_{qi}!} \prod_{i=1}^I (P_{qi})^{k_{qi}} \right), \quad (20)$$

with  $P[y_q = k_q]$  as in Equation (13) after replacing  $n_q$  (the actual observed total crash count for intersection  $q$  in the estimation sample) with an arbitrary value  $k_q$ . Using the properties of the multinomial distribution, the marginal probability of  $k_{qi}$  counts for crash event state  $i$  is:

$$P[y_{qi} = k_{qi}] = \sum_{k_q=0}^{\infty} \left[ P[y_q = k_q] \times \left( \frac{k_q!}{k_{qi}!(k_q - k_{qi})!} (P_{qi})^{k_{qi}} (1 - P_{qi})^{(k_q - k_{qi})} \right) \right] \quad (21)$$

In the above expression, the upper bound of the summation is  $k_q = \infty$ , though the probability values fade very rapidly beyond a  $k_q$  value of 5. For the purposes of this thesis, we carry the summation up to  $k_q = 20$ .

Then, at the disaggregate level, we can estimate the probability of the observed multivariate count category for each intersection using Equation (20), and compute an average probability of correct prediction. Similarly, we also can estimate the probability

of the observed marginal count event state separately for each crash type/injury severity level using Equation (21), and compute an average probability of correct prediction.

### ***3.3.3 Aggregate measures of fit***

At the aggregate level, we design a heuristic diagnostic check of model fit by computing the predicted aggregate share of intersections in specific multivariate outcome states (because it would be infeasible to provide this information for each possible multivariate outcome state). In particular, we predict the aggregate share of intersections in each of 13 crash event combination states. The first combination event state corresponds to zero crashes (which we will refer to as the “no crashes” state). The other 12 combination states correspond to crash counts in each crash type/injury severity state and no crashes in any other crash type/injury severity state. In addition to these aggregate shares of multivariate outcomes, we also compute the aggregate shares of the marginal outcomes of crash count values of 0, 1 and 2+ for each crash event state. To evaluate the performance of the model proposed here, we compute the absolute percentage error (APE) statistic for each combination state (as the difference between the predicted and observed values for each count combination state as a percentage of the observed value), and then compute a mean weighted APE value across the count values (of 0 1 and 2+) using the observed number for each count value as the weight for that count value.

## Chapter 4. Data

### 4.1 Sample Formation

The crash data used in the analysis is drawn from the Texas Department of Transportation (TxDOT) Crash Records Information System (CRIS) for the year 2010. The CRIS compiles police and driver reports of crashes into multiple text files, including complete crash, person, and vehicle-related details for each crash.<sup>6</sup> The crash files include information of crash type and injury severity, along with crash time and location, and weather and lighting-related characteristics. TxDOT overlays the crash location from the crash files to a Geographic Information System (GIS)-based street network, identifies crash locations on the street network, and extracts the characteristics of each crash, along with supplementary information on intersection and road design, geometric variables, and traffic conditions.

For the current study, intersection and intersection-related crashes occurring in rural areas of central Texas were extracted from the CRIS data base.<sup>7</sup> Central Texas, as used in this thesis, includes the districts of Austin and San Antonio.<sup>8</sup> This area was selected to include two of the most densely populated cities in Texas (Austin and San Antonio) and a tract of about 400 miles of Interstate 35 (I-35) with associated frontage roads and intersections. The dependent variable of our analysis is the count of all traffic crashes at rural intersections in the year 2010 by combinations of crash type and injury severity level. Due to the difference in the nature and characteristics of injury severity and crash type between crashes involving only motorized vehicles and those also involving non-motorized vehicles (pedestrians and bicyclists) and/or trains (see Bagdadi,

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<sup>6</sup> The Texas law enforcement agency officially maintains the records of those crashes reported by police and drivers that involve property damage of more than \$1,000 and/or the injury or death of one or more individuals. Then, by construction, there is an under-reporting of the “no injury” category in the CRIS database, and so our analysis could be viewed as focused on the population of crashes that are biased toward higher injury severity.

<sup>7</sup> TxDOT defines an intersection-related crash as those that occur within the curblane limits of intersections or on one of the approaches/exits to the intersection within 200 feet from the intersection center point.

<sup>8</sup> TxDOT defines districts to oversee the construction and maintenance of state highways. The Texas districts definitions are available at <http://www.txdot.gov/inside-txdot/district.html>

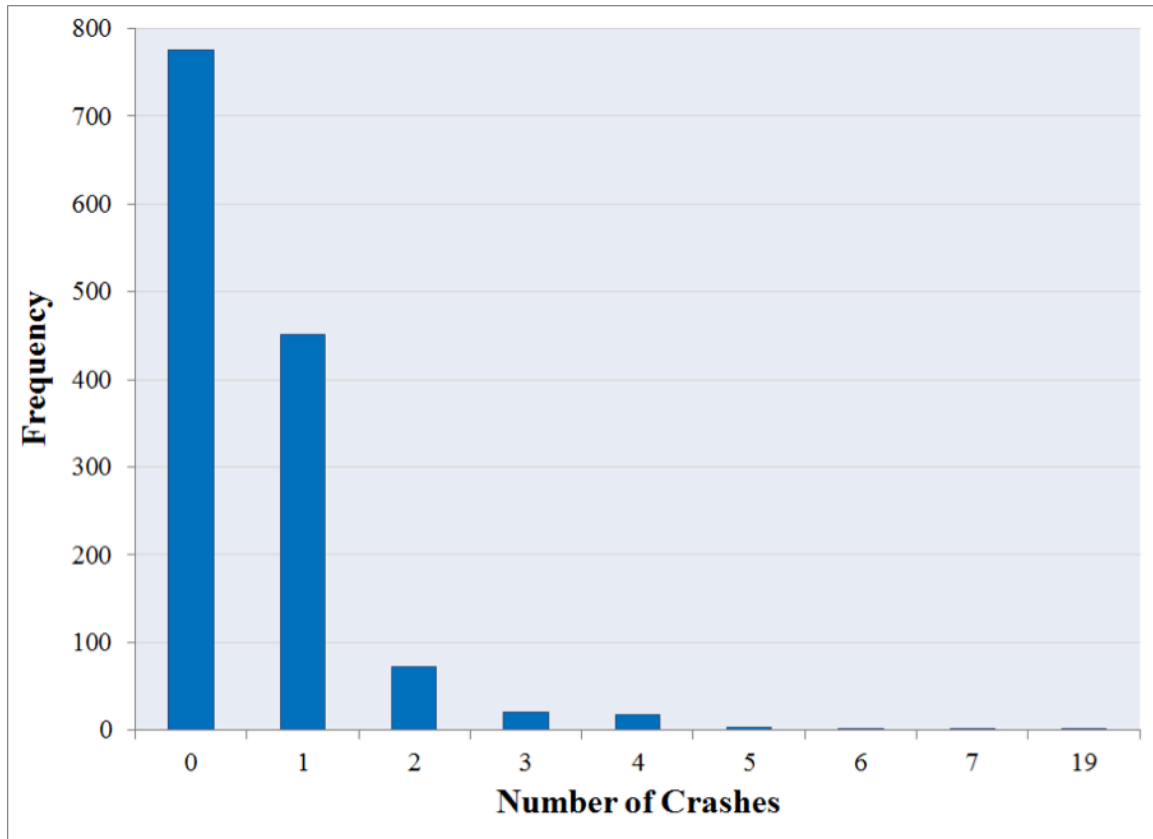


2013), only the pool of motor-vehicle crashes were considered in the current analysis. Also, the records of independent variables with incomplete or inconsistent information on crash and intersection design were removed from the sample. Our sample formation procedure thus far includes only those intersections for which at least one crash occurred in 2010. This is because, for those intersections at which no crashes occurred that year, we do not have readily available information on intersection attributes (because the intersection attributes are available only for those intersections that appear in the CRIS data base, and intersections at which no crashes occurred in 2010 do not appear in the 2010 CRIS files). To alleviate this selection problem and reduce the resulting bias, we identified intersections in which there was at least one crash during 2009 (and, therefore, intersection design characteristics were available), but that did not appear in the 2010 CRIS file. These intersections were then appended to our sample, setting the number of crashes at these intersections to zero. Overall, our analysis may be viewed as being focused on the relatively crash-prone rural intersections in central Texas.

The final estimation sample at the end of the sample formation process discussed above includes 1348 rural intersections. The total number of crashes in the sample is 798, corresponding to an average of 0.59 crashes per intersection and an average of 1.39 crashes per intersection for those intersections with at least one crash. Figure 1 presents the distribution of crashes across all intersections, showing that 57.5% of the intersections in the sample have zero crashes (as obtained from the 2009 CRIS file with no corresponding entry from the 2010 CRIS file) and 42.5% have at least one crash. This excess of zeros, commonly present in crash data, is not a problem in our proposed framework because of the flexible specification of the thresholds of the count data model (see Section 3.1.2). Figure 1 also shows that one intersection has an exceptionally large number of crashes (19 crashes in one year).<sup>9</sup> This observation, usually considered an outlier, can also be modeled by our count data approach (see El-Basyouny and Sayed, 2010 for an analysis of outliers in crash data).

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<sup>9</sup> This intersection is located at the exit of a hospital located between the cities of Buda and Kyle. Crashes at this intersection are mostly angle crashes with no injured occupants.



**Figure 1. Crash frequency distribution across intersections**

As discussed earlier, the multivariate dependent variable in our analysis is the number of crashes by combinations of crash type and injury severity level. In the CRIS file, crash types are coded in 42 distinct categories. Based on the frequency of each crash type in the final sample, we aggregated the crash types into four categories:<sup>10</sup> (1) single-vehicle (only one vehicle is involved in the crash), (2) angle (two vehicles moving at an angle to one another just before the point of impact)), (3) rear-end (the front of one moving vehicle crashes into the back of another moving vehicle traveling in the same direction), and (4) other crash types (including head-on collisions, sideswipe collisions

<sup>10</sup> Although the crash types used for the analysis may seem overly-aggregated, the 42 categories defined in the CRIS files were extremely fine (one could say almost overly fine to be able to discriminate based on the explanatory variables usually available for prediction of crashes). For example, angle crashes were categorized into 10 groups, based on the direction in which the vehicles were moving at the moment of the impact (turning, going straight, backing). Besides, the number of crashes in each of these 10 categories was fairly low, with the variation in the number of crashes in each category not being adequate for statistical inference and analysis.

and collisions with two vehicles backing; these crash types are aggregated into one category because of the very few crashes within each of the crash types individually). The injury severity level associated with a crash, as used in the current analysis, corresponds to the most severely injured individual (could be a driver or a passenger) in the crash. Injury severity is recorded in five ordinal categories: (1) no injury, (2) possible injury, (3) non-incapacitating injury, (4) incapacitating injury, and (5) fatal injury. Because of the very low share of crashes with incapacitating and fatal injuries (4.3% and 1.6%, respectively), we converted the five-level ordinal categorization into a three-level scheme by combining the non-incapacitating, incapacitating and fatal categories into a single level denoted “confirmed injury”. Based on the four crash type categories and three injury severity levels, there is a total of 12 crash event states. Table 1 in Appendix shows the number of crashes by each of these categories, and the corresponding percentages. The last column of the table reveals that angled crash types are the most prevalent, with rear-end and other crash types also occurring quite often. Single vehicle crashes are the fewest, though they also make up more than 10% of all crashes. The last row of the table indicates that more than half of all crashes did not result in any injuries, while the remaining crashes were about equally split between crashes with possible injury and crashes with confirmed injuries. The most prevalent type of crash by type and injury severity level is an angled crash with no injury (20.2% of total crashes). The table also shows differences in the patterns of injury severity based on type of crash (see the columns entitled “Crashes as a percentage of row total” in Table 1 in Appendix). Thus, angled crashes are less likely to lead to no injury, and more likely to lead to confirmed injury, compared to other types of crashes. Single vehicle crashes are the most likely to lead to no injury, while rear-end crashes are the least likely to lead to confirmed injury.

The next section discusses additional sample characteristics on relevant exogenous variables in the analysis.

## 4.2 Sample Characteristics

Several types of exogenous variables were considered in the empirical analysis, including intersection attributes and major road characteristics (the major road of an intersection is defined as the entering road with the highest traffic volume). Table 2 in Appendix presents the sample characteristics of selected exogenous variables within each of these categories of variables.<sup>11</sup>

*Intersection attributes* include (1) intersection location variables, which are indicator variables for the Austin and San Antonio districts to account for possible overall location-related factors that are not able to be captured by other explanatory variables, (2) number and type of entering roads, and (3) type of traffic control. Table 2 in Appendix indicates that the number of entering roads is three for more than half of the intersections, both in T-shape form as well as Y-shape form. In addition, there are a sizeable number of intersections with four entering roads. The traffic control type statistics indicate that more than half of the intersections are controlled by either a signal light or a stop sign (*i.e.*, a stop sign on one or more approaches, but no other form of control), while yield sign controlled intersections (a yield sign on one or more approaches) are fairly uncommon (only 6%). Intersections with a center stripe or divider represent 16.4% of the estimation sample, and intersections with other traffic controls (such as flashing lights, marked lanes or no passing zone signs) account for 9.4% of the sample. Finally, a considerable number of intersections have no traffic control (an intersection is designated as having no control if it does not have any of the previous control types).

The *major road characteristics* include number of lanes, median type, functional classification,<sup>12</sup> surface width (for both travel directions, not including shoulders or median width), median width, inside and outside shoulder widths (the inside shoulder is to the left of the direction of movement, while the outside shoulder is to the right of the

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<sup>11</sup> Some explanatory variables were not statistically significant in the final model specification; the sample characteristics of these variables are not presented in Table 2 (in Appendix) to conserve on space. Among these variables were: roadway alignment (horizontal curvature or vertical grade), and lane type (two-lane, boulevard, expressway or highway).

<sup>12</sup> Functional classification as defined by the FHWA can be found at: <http://ntl.bts.gov/lib/23000/23100/23121/09RoadFunction.pdf>

direction of movement), and traffic conditions. Table 2 in Appendix shows that the number of approach lanes on the major road is almost equally distributed among two and four lanes, and that more than 85% of the major roads have no median. Regarding functional classification, most major roads are principal collectors, representing 42.3% of the sample, followed by principal and minor arterials, with 28.6% and 22.8%, respectively. The average surface width is 36.4 feet, with a minimum of 18 feet and a maximum width of 82 feet. The average median width is 7.4 feet, with a large variation from 0 feet (no median) to 135 feet. The table also shows that outside shoulders are, on average, wider than inside shoulders. Finally, the descriptive statistics for average daily traffic volume in Table 2 in Appendix show an average of 10,272 vehicles, with a variation of 88.7% of the mean. The daily average percentage of trucks, single-unit or combo-unit, in the traffic stream on the main road is relatively low.

## Chapter 5. Estimation Results

### 5.1 Variable Specification

The selection of variables included in the final model specification was based on previous research, intuitiveness, and parsimony considerations. For categorical exogenous variables, if a certain level of the variable did not have sufficient observations, it was combined with another appropriate level; and if two levels had similar effects, they were combined into one level. For continuous variables, we tested alternative linear and non-linear functional forms, including dummy variables for different ranges. The intersection attributes and major road characteristics were considered both in the crash frequency model specification (threshold and long-term propensity) and in the crash event state model specification.

The final estimation results are presented in Table 3 (for the crash frequency model) and Table 4 (for the crash event state model) in Appendix. In some cases, we have retained variables that are not statistically significant at a 0.05 significance level because of their intuitive effects and to inform future research efforts in the field.

### 5.2 Estimation Results Analysis

#### *5.2.1 Crash frequency model*

The first main numeric column of Table 3 in Appendix provides the coefficients associated with the latent propensity, while the second main numeric column presents the threshold coefficients. In these tables, for categorical variables, the base category is presented in parenthesis. For example, for “Number and type of entering roads”, the base category is “three (T-shaped)”. Also, a positive sign for a latent propensity coefficient indicates that an increase in the corresponding variable results in an increased crash frequency propensity, while a negative sign indicates the reverse. For the threshold variables, a positive coefficient shifts the threshold toward the left of the propensity scale, which has the effect of reducing the probability of the zero-crash outcome (increasing the overall probability of the non-zero outcome). A negative coefficient, on the other hand,

shifts the threshold toward the right of the propensity scale, which has the effect of increasing the probability of the zero-crash outcome (decreasing the overall probability of the non-zero outcome crashes).

The first row panel in Table 3 in Appendix presents the constant in the  $\psi$  vector, as well as the threshold-specific constants ( $\alpha_k$  values). These constants do not have any substantive interpretations, though the threshold specific constants ( $\alpha_k$ ) provide flexibility in the count model to accommodate high or low probability masses for specific outcomes. As indicated in Section 3.1.2, identification is achieved by specifying  $\alpha_0 = 0$  and  $\alpha_k = \alpha_K \forall k \geq K$ . In the present specification, we initially set  $K = 19$  (which is the maximum value of the total number of crashes in the sample) and progressively reduced  $K$  based on statistical significance considerations and general data fit. The final specification in Table 3 (in Appendix) is based on setting  $K = 2$ .

The next row panel of Table 3 in Appendix provides the effects of *intersection attributes*. The results show that Y-shaped intersections have a higher crash risk propensity than T-shaped intersections. It is possible that drivers do not perceive Y-shaped intersections as a stop-and-go location because of the skew angle of the lanes and, therefore, fail to give the right-of-way or to slow down when reaching the intersection. The results also show that a given crash risk propensity is more likely to get translated into a non-zero crash outcome at intersections with four entering roads relative to intersections with three T-shaped entering roads, as indicated by the negative sign in the threshold coefficient. This result has been found in safety literature before (Qin *et al.*, 2010, Castro *et al.*, 2012) and can be attributed to the fact that three-legged intersections have fewer conflicting points and may provide more of an “out” to drivers to avoid crashes once a potential crash situation starts to develop. The results pertaining to the type of traffic control show that intersections with a signal light have a higher crash risk propensity than other forms of control. In particular, intersections with no traffic control or minimal traffic control have the lowest crash risk propensity (see Bullough *et al.*, 2013 for the same result). A plausible explanation is that drivers do not expect to face signal

lights in rural areas and do not react in time to possible intersection-related hazards. Another possibility is that the type of traffic control is highly correlated with traffic volume, which may be the underlying cause of high number of crash counts (even after incorporating traffic volume as an exogenous variable). This endogeneity problem is out of the scope of this study, but readers are referred to Bhat *et al.* (2013b) for details on count data models with endogenous covariates.

Among *major road characteristics*, the only variable that significantly contributes toward explaining crash frequency is the average daily entering traffic volume. The negative coefficient implies that intersections with high traffic volume in the major road have a reduced crash risk propensity. This finding may be due to reduced speeds because of traffic congestion, which allows the drivers more time to react and avoid collisions. Since the traffic volume is not the total entering volume for the intersection, but the entering volume of the major road only. Consequently, it is possible that drivers in the minor road are more cautious when approaching the intersection and that helps to reduce crash frequency when facing an intersecting road with high traffic volume (see Castro *et al.*, 2012).

The parameter that links the crash event state model with the crash frequency model in our final model specification is statistically significant, supporting the hypothesis that the frequency of crashes and the crash even state outcomes of these crashes are interrelated. That is, the total count of crashes is endogenous to the combinations of crash type and injury severity levels, and variables that affect the event state also impact the total count of crashes through the linkage parameter.

### **5.2.2 Crash event state model**

Table 4 in Appendix presents the results of the crash event state model. Although we extensively tried to accommodate a flexible correlation matrix for the crash event states, no coefficients resulted significant. Therefore, the model presented in this table was estimated assuming that the crash event states and identically and independently (IID) distributed. The first row panel of Table 4 in Appendix presents the alternate specific



constants, with the base alternative being the single vehicle/no injury crash event state. These constants do not have any substantive interpretation because of the presence of continuous explanatory variables. However, some of these constants have a significant standard deviation, indicating intersection-specific heterogeneity in the crash event state outcomes.

*Intersection attributes* are significant determinants of crash event state occurrence. Compared with intersections located in Austin district, intersection in San Antonio district are less likely to result in angle crashes in which no one is injured. This indicator variable is capturing the mean effect of all unobserved factors not considered in our analysis (such as traffic congestion effects and speed limit) and does not have a substantive interpretation. The type of traffic control is also a significant determinant of crash event state. Table 4 in Appendix shows that, compared to intersections controlled by signal lights, intersections controlled by stop signs tend to present a higher likelihood of angle crashes, for the three injury severity levels. Also, there is a trend in these coefficients, such that the outcome of angles crashes at stop-controlled intersections is more likely to be no injury and less likely to be confirmed injury. The increased likelihood of angle crashes at intersections controlled by stop signs could be because some drivers do not respect the right-of-way and collide against vehicles traveling in the other road (Retting *et al.*, 2003). In addition, stop-sign controlled intersections require that drivers establish the adequate gap in the conflicting traffic to cross the intersection; if this gap is not established correctly, angle crashes are more likely to occur. Similar to stop-controlled intersections, intersections controlled with yield signs present more angle/no injury crashes than signal controlled intersections, maybe for the same reasons discussed before (although the coefficient magnitude and its significance are considerably lower).

In the category of *major road characteristics*, major roads with four lanes increase the likelihood of severe (possible injury and confirmed injury) angle crashes, compared to major roads with two lanes. It is possible that drivers in minor roads misestimate the crossing distance of wider roads (four-lane roads) and, therefore, do not

allocate enough time to cross the intersection and collide against vehicles traveling in the major road. The logarithm of the average daily entering traffic volume impacts the occurrence of the crash event state other crash type/possible injury. This finding could be due to an increase in exposure for other crash types, such as head-on and sideswipe crashes (see Agüero-Valverde and Jovanis, 2009 and Park and Lord, 2007 for a similar finding). Finally, surface and shoulder width tend to reduce crash severity for different crash types (for similar results, see Mitra and Washington, 2007, Ma *et al.*, 2008, and Pei *et al.*, 2011). The table shows that wider major roads present more angle crashes in which no passenger is injured (as found by Ye *et al.*, 2009) and less angle crashes with possible injuries. It is possible that wider road surfaces allow drivers to circumvent, at some extent, other vehicles; then, intersection design with wide major roads can improve angle crash safety. Similarly, major roads with wider shoulders, either interior or exterior, are less prone to present crashes resulting in possible or confirmed injury, for different crash types. Moreover, because of the negative signs of the coefficients associated with surface and shoulder width, wider major roads will result in a reduced crash frequency, as discussed in Section 5.4.

Overall, these results validate the approach undertaken in this study, showing that intersection-specific variables have differential impacts on crash types and severity levels.

### **5.3 Measures of Fit**

The composite log-likelihood (CLL) measure of the joint crash frequency-crash event state model (the joint model) is -3,645.8 with 41 parameters. The corresponding figure for the model system that unlinks the total crash frequency model and the crash event state model (the independent model) is -3,659.1 with 40 parameters. As discussed in Section 3.3, these CLL measures can be compared by computing the *ADCLRT* statistic, which returns a value of 18.4, which is larger than the table chi-squared value with one degree of freedom at any reasonable level of significance and ratifies the hypothesis that the joint model is statistically superior to the independent model.

Following the procedures discussed in Section 3.3, we proceed to evaluate the model data fit at both disaggregate and aggregate levels, as well as for both the multivariate crash count distribution and the marginal crash count distribution. The disaggregate-level data fit measures indicate an average probability of correct prediction of 36.50% for the multivariate crash counts and an average probability of correct prediction of 92.52% for the marginal crash counts. The corresponding values for the independent model are 36.25% and 92.48% respectively, which are slightly smaller in magnitude than those from the joint model.

The aggregate fit measures for multivariate outcomes are provided in Table 5 in Appendix. The APE values are sizeable for both the joint and independent models, but it should be noted that these predictions are for multivariate crash outcomes. The joint model provides a better (lower) APE value for most multivariate outcomes. For the case of no crashes, the APE is 1.08% for the joint model and 1.43% for the independent model. Then, considering the 12 crash event states and the no-crash outcome, the overall weighted APE value is about 16.38% for the joint model and 16.50% for the independent model (recall that intersections with no crashes represent 57.5% of the sample and, therefore, have a high weight for computing the weighted APE). When computing the weighted APE across injury severity levels, the joint model performs consistently better than the independent model (except for possible injuries), and when computing the weighted APE across crash types, the joint model is superior for all crash types but rear-end. The table also shows that both models fit better for single vehicle crashes and other crash types, while the APE of angle crashes is considerable higher (both models tend to overestimate angle crashes).

The aggregate fit measures for marginal outcomes are provided in Table 6 in Appendix. As expected, the APE values are lower for these outcomes than for the multivariate outcomes (Table 5 in Appendix). Overall, the count predictions from the joint model are better than the count predictions from the independent model (the joint model, compared to the independent model, presents slightly higher APE for event states single vehicle/no injury, angle/possible injury, angle/confirmed injury, rear-

end/confirmed injury and other crash type/possible injury). In general, the APE is lower for 0 crashes, compared to 1 and 2+ crashes, and consistently higher for angle crashes, as observed in Table 5 in Appendix. The total crash count APE for 0, 1 and 2+ crashes is 1.1, 1.2 and 2.4, respectively, and the overall weighted APE is 1.58% (2.91% for the independent model). These results show that the joint model outperforms the traditional independent model in both disaggregate and aggregate levels.

#### **5.4 Elasticity Effects and Implications**

Section 5.2 discussed the effects of variables on crash frequency and crash event states. However, the coefficients do not directly provide a sense of the magnitude and direction of effects of each variable on crash frequency at each event state. For example, the results of the crash frequency model in Table 3 in Appendix suggest that intersections controlled by stop signs tend to have fewer crashes than signal-controlled intersections. However, the crash event state model in Table 4 in Appendix shows that these intersections are more likely to present angle crashes. The positive coefficients of Table 4 in Appendix, due to the positive linkage parameter, will increase the crash frequency at intersections controlled by stop signs. Then, depending on the relative value of the crash frequency model coefficients and the crash event state model coefficients, the overall crash frequency may be higher or smaller than the crash frequency at signal-controlled intersections.

To clarify the effect of exogenous variable, we demonstrate the application of this model by studying the effects of changes in all significant variables but intersection location, as this variable does not have any policy implication. The impact on the crash frequency is estimated by determining the percentage change in the expected number of crashes in each crash event state (across all intersections) and for each crash event state. For the continuous variables (average daily entering traffic volume, surface width and shoulder width), we increase the value of the variable by 10% for each observation. For dummy variables, we first predict the number of crashes in each crash event state for each intersection, assigning the base value of “0” for all dummy variables characterizing each

single exogenous discrete variable. Then, we change each dummy variable to the value of “1” and, again, compute the number of crashes in each crash event state for each intersection, and compute the percentage change. For example, consider number and type of entering roads. We first compute the number of crashes in each crash event state after assigning zero values for both the “three (Y-shaped)” and “four” variables for each intersection. Because “three (T-shaped)” is the base category, this variable is already zero. Then, we compute the number of crashes for all crash event states after changing the value of the “three (Y-shaped)” dummy variable for each intersection from the value of zero to the value of one, and compute the percentage difference in crash frequency with respect to the above case. The same procedure is used for the dummy variable “four”.

Table 7 in Appendix provides the results for both joint and independent models. The numbers in the table may be interpreted as the percentage change in the crash frequency of each crash event state due to a change in the exogenous variable. For example, the first entry in the table indicates that the number of single vehicle crashes resulting in no injury is 45.68% higher for Y-shaped intersections compared to T-shaped intersections, other characteristics being equal. Other entries may be similarly interpreted. Several observations can be made from the results in Table 7 in Appendix. First, the elasticity effects help to identify the direction and magnitude of the exogenous variables on crash frequency. Following the example provided earlier, the table shows that intersections controlled by stop signs, overall, have fewer crashes than signal-controlled intersections. However, this effect is not constant across all crash event states, as angle crashes are more likely to occur at intersections controlled by stop signs. These differences across crash event states can be also observed for yield signs, validating the importance of considering the effect of variables on each combination of crash types and injury severity levels. Second, Table 7 in Appendix shows that Y-shaped intersections present 44.52% more crashes than T-shaped intersections, and that this elasticity effect is virtually the same across event states. This result suggests that a careful investigation into the design of intersections with three entering roads, especially in terms of skewness and

visibility, can help to improve safety at rural intersections. Third, the results show that confirmed injuries caused by angle crashes are more likely to occur in intersections controlled by stop and yield signs. Although intersections controlled by stop and yield signs tend to have less crashes than intersections controlled by traffic lights, the consequences of severe crashes, in terms of property and economic loss and deaths, may require the evaluation of these forms of traffic controls in rural intersections. Finally, the comparison between the joint and independent model shows several differences. In particular, the effects of major roads characteristics are clearly misestimated by the independent model. For the exogenous variables number of lanes, surface and shoulder width, which appear only in the specification of the crash event model and not in the crash frequency model, the change in total crash counts is zero in the independent model. However, in the joint model the change in total crashes 18.7% for number of lanes, and 0.75%, -0.03% and -0.09% for surface width, inside shoulder with and outside shoulder width, respectively. These results exemplify the possible errors in policy making that can be made when wrongly assuming that the frequency of crashes and the crash even state outcomes of these crashes are interrelated.

## Chapter 6. Conclusions

This thesis has proposed an econometric multivariate structure for crash frequency analysis that combines a total count model with a discrete choice model that allocates the total crash count to different combinations of crash type and injury severity levels (referred as crash event states). This approach simultaneously (a) recognizes the linkage between the combinations of crash type and injury severity and the total crash count by incorporating the effect of the crash event state's errors on the total crash count, which is critical to recognize the full econometric jointness of the two outcomes, (b) uses a flexible MNP structure for the discrete choice model to accommodate unobserved heterogeneity in the effects of contributing factors, (c) uses new results regarding the distribution of the maximum of multivariate normally distributed random variables (with a general covariance matrix) as well as its stochastic affine transformations (see Bhat *et al.*, 2013b), and (d) employs a latent variable framework for modeling the total crash count that, at once, enables the linkage of the discrete choice model and crash count model, recognizes the presence of unobserved heterogeneity, and accommodates excess of zeros (or excess number of any count value) without the need for zero-inflated or hurdle devices. The resulting joint crash frequency - crash event state model is estimated using a relatively straightforward-to-implement composite marginal likelihood (CML) inference approach. To our knowledge, this model is the first formulation of its kind to be proposed and applied in the safety analysis literature.

The proposed model is applied to model crash frequency by combinations of crash type and severity injury on rural intersections in central Texas, using the crash incident files maintained by the Texas Department of Transportation. Crash type was classified in four levels (single vehicle, angle, rear-end and other crash type) and injury severity in three levels (no injury, possible injury and confirmed injury), accounting for 12 crash type/injury level combinations. The empirical results clearly reveal the benefits, both in terms of capturing flexibility in variable effects and data fit, to adopting the proposed structure. From a substantive standpoint, the results underscore the important

effects of intersection design and major road characteristics in determining the number of crashes in each category.



## Appendix

**Table 1: Crashes by combinations of crash type and injury severity level**

Crash type/ Crash severity level	No injury			Possible injury			Confirmed injury			Total number of crashes
	Number of crashes	Crashes as a percentage of total crashes	Crashes as a percentage of row total*	Number of crashes	Crashes as a percentage of total crashes	Crashes as a percentage of row total*	Number of crashes	Crashes as a percentage of total crashes	Crashes as a percentage of row total*	
Single vehicle	51	6.4	63.0	13	1.6	16.0	17	2.1	21.0	81
Angle	161	20.2	50.8	70	8.8	22.1	86	10.8	27.1	317
Rear-end	102	12.8	58.0	44	5.5	25.0	30	3.8	17.0	176
Other crash type	128	16.0	57.1	47	5.9	21.0	49	6.1	21.9	224
Total number of crashes	442			174			182			798

(\*) These percentages represent the distribution of each crash type by severity level.

**Table 2: Explanatory variables**

Variable	Share [ % ]	Variable	Share [ % ]	
<i>Intersection Attributes</i>		<i>Major Road Characteristics</i>		
<i>Intersection location</i>		<i>Number of lanes</i>		
Austin district	50.1	Two	51.9	
San Antonio district	49.9	Four	48.1	
<i>Number and type of entering roads</i>		<i>Median type</i>		
Three (T-shaped)	49.8	No median	86.8	
Three (Y-shaped)	4.3	Unprotected median	10.9	
Four	45.9	Barrier	2.3	
<i>Type of traffic control</i>		<i>Functional classification</i>		
Signal light	23.0	Interstate	3.3	
Stop sign	28.2	Principal arterial	28.6	
Yield sign	6.0	Minor arterial	22.8	
Center stripe or divider	16.4	Principal Collector	42.3	
Other traffic control	9.4	Minor collector	3.0	
No traffic control or minimal traffic control	17.0			
Descriptive Statistics				
Variable	Mean	Std. Deviation	Minimum	Maximum
<i>Major Road Characteristics</i>				
Surface width (feet)	36.4	12.9	18.0	82.0
Median width (feet)	7.4	20.3	0.0	135.0
<i>Shoulder width (feet)</i>				
Inside shoulder	4.8	4.2	0.0	17.0
Outside shoulder	6.0	6.0	0.0	26.0
<i>Traffic conditions</i>				
Average daily entering traffic volume (veh/day)	10,272	9,109	20	68,760
Daily average percent of single-unit trucks (%/day)	4.8	2.0	1.5	21.3
Daily average percent of combo-unit trucks (%/day)	4.9	4.0	0.2	26.3

**Table 3: Joint model estimation results - Crash frequency model**

Variables	Latent Propensity Coefficients		Threshold Coefficients	
	Estimate	t-stat	Estimate	t-stat
<b><i>Constants</i></b>				
Constant in $\psi$ vector			-2.5277	-2.168
<i>Threshold specific constants</i>				
$\alpha_1$			0.9367	2.017
$\alpha_2$			0.7858	1.296
<b><i>Intersection attributes</i></b>				
<i>Number and type of entering roads (three (T-shaped))</i>				
Three (Y-shaped)	0.6668	1.812		
Four			-0.8488	-1.787
<i>Type of traffic control (signal light)</i>				
Stop sign	-1.2134	-2.636		
Yield sign	-1.2064	-2.630		
Center stripe or divider	-1.0683	-3.090		
Other traffic control	-0.5575	-1.838		
No traffic control or minimal traffic control	-1.8023	-3.544		
<b><i>Major road characteristics</i></b>				
<i>Traffic conditions</i>				
Average daily entering traffic volume (veh/day/1,000)	-0.0152	-1.762		
<b>Linkage parameter</b>	1.8414	2.803		

**Table 4: Joint model estimation results - Crash event state model**

Variables	Estimate	t-stat
<b>Constants</b>		
Single vehicle/Possible injury	-0.7479	-1.555
<i>st. deviation</i>	0.6102	1.264
Single vehicle/Confirmed injury	-0.5819	-1.699
<i>st. deviation</i>	0.5840	1.701
Angle/No injury	-0.4465	-3.343
Angle/Possible injury	-0.5152	-6.279
Angle/Confirmed injury	0.2766	1.072
Rear-end/No injury	0.0149	0.120
<i>st. deviation</i>	0.5916	4.177
Rear-end/Possible injury	0.0845	1.071
Rear-end/Confirmed injury	-0.6346	-1.405
<i>st. deviation</i>	0.6384	1.419
Other crash type/No injury	0.3791	4.896
<i>st. deviation</i>	0.3474	2.007
Other crash type/Possible injury	-0.4607	-3.673
Other crash type/Confirmed injury	0.0132	0.234
<b>Intersection attributes</b>		
<i>Intersection location</i>		
<i>San Antonio district (Austin district)</i>		
Angle/No injury	-0.3117	-4.760
<i>Type of traffic control (signal light)</i>		
<i>Stop sign</i>		
Angle/No injury	1.1127	14.648
Angle/Possible injury	1.1096	18.004
Angle/Confirmed injury	1.0090	10.467
<i>Yield sign</i>		
Angle/No injury	0.6813	3.408
<b>Major road characteristics</b>		
<i>Number of lanes (two)</i>		
<i>Four</i>		
Angle/Possible injury	0.5685	8.000
Angle/Confirmed injury	0.8321	3.395
<i>Traffic conditions</i>		
<i>Logarithm of average daily entering traffic volume (ln(veh/day/1,000))</i>		
Other crash type/Possible injury	0.1869	3.647
<i>Surface width (feet)</i>		
Angle/No injury	0.0157	5.907
Angle/Confirmed injury	-0.0260	-2.731
<i>Shoulder width (feet)</i>		
<i>Inside shoulder</i>		
Single vehicle/Confirmed injury	-0.0413	-1.614
<i>Outside shoulder</i>		
Single vehicle/Possible injury	-0.0333	-1.618
Rear-end/Possible injury	-0.0241	-2.798

**Table 5: Aggregate measures of fit for multivariate outcomes in the estimation sample**

Model	Crash type/Injury severity level	No crashes			No injury			Possible injury			Confirmed injury			Weighted APE across injury severity levels
		Observed	Predicted	APE	Observed	Predicted	APE	Observed	Predicted	APE	Observed	Predicted	APE	
Joint model	Single vehicle	775	766.66	1.08	34	31.44	7.52	10	7.17	28.28	11	10.10	8.14	14.65
	Angle				52	88.77	70.70	29	51.62	77.99	22	40.64	84.75	77.81
	Rear-end				92	54.45	40.82	36	28.32	21.34	49	15.46	68.45	43.53
	Other crash type				69	88.09	27.67	22	25.93	17.84	26	32.52	25.06	23.52
	Weighted APE across crash types				38.85			38.20			55.18			16.38
Independent model	Single vehicle	775	763.95	1.43	34	29.93	11.97	10	7.38	26.24	11	10.08	8.39	15.53
	Angle				52	86.72	66.77	29	50.05	72.59	22	40.66	84.80	74.72
	Rear-end				92	54.78	40.45	36	28.47	20.93	49	15.61	68.14	43.17
	Other crash type				69	89.06	29.07	22	26.16	18.89	26	33.02	26.99	24.98
	Weighted APE across crash types				38.89			36.46			55.54			16.50

**Table 6: Aggregate measures of fit for marginal outcomes in the estimation sample**

Crash type	Model	Crash counts	No injury			Possible injury			Confirmed injury		
			Observed	Predicted	APE	Observed	Predicted	APE	Observed	Predicted	APE
Single vehicle	Joint model	0	1297	1299.5	0.2	1335	1335.6	0.0	1331	1331.4	0.0
		1	51	47.2	7.4	13	12.3	5.3	17	16.4	3.4
		2+	0	1.3	1.3	0	0.1	0.1	0	0.1	0.1
		Weighted APE	0.46			0.09			0.07		
	Independent model	0	1297	1297.9	0.1	1335	1336.1	0.1	1331	1331.6	0.0
		1	51	48.7	4.5	13	11.9	8.7	17	16.3	4.2
2+		0	1.4	1.4	0	0.0	0.0	0	0.1	0.1	
Weighted APE	0.24			0.17			0.10				
Angle	Joint model	0	1206	1215.3	0.8	1289	1265.7	1.8	1267	1282.2	1.2
		1	130	119.7	8.0	53	76.4	44.2	76	62.4	17.9
		2+	12	13.0	8.7	6	5.8	3.0	5	3.4	32.7
		Weighted APE	1.53			3.48			2.26		
	Independent model	0	1206	1217.3	0.9	1289	1267.9	1.6	1267	1281.4	1.1
		1	130	118.9	8.6	53	75.0	41.5	76	63.2	16.8
2+		12	11.8	1.6	6	5.1	15.8	5	3.4	31.6	
Weighted APE	1.68			3.27			2.13				
Rear-end	Joint model	0	1261	1262.6	0.1	1306	1302.7	0.3	1318	1322.7	0.4
		1	77	81.6	5.9	40	44.1	10.2	30	24.9	17.0
		2+	10	3.9	61.3	2	1.2	38.9	0	0.4	0.4
		Weighted APE	0.91			0.60			0.73		
	Independent model	0	1261	1260.8	0.0	1306	1301.9	0.3	1318	1322.0	0.3
		1	77	83.4	8.3	40	44.9	12.2	30	25.5	14.9
2+		10	3.8	61.7	2	1.3	37.3	0	0.5	0.5	
Weighted APE	0.95			0.73			0.63				
Other crash type	Joint model	0	1241	1216.1	2.0	1303	1306.7	0.3	1302	1296.1	0.5
		1	92	123.0	33.7	43	40.2	6.5	44	50.2	14.1
		2+	15	8.9	40.7	2	1.1	44.6	2	1.7	16.4
		Weighted APE	4.61			0.55			0.92		
	Independent model	0	1241	1212.9	2.3	1303	1305.6	0.2	1302	1294.5	0.6
		1	92	126.2	37.2	43	41.2	4.2	44	51.8	17.6
2+		15	9.0	40.3	2	1.2	39.8	2	1.7	12.9	
Weighted APE	5.07			0.38			1.15				

**Table 7: Elasticity effects -- Aggregate change in expected number of crashes**

Variable	Crash type/Injury severity level	Joint model			Independent model			
		No injury	Possible injury	Confirmed injury	No injury	Possible injury	Confirmed injury	
Intersection attributes								
Number and type of entering roads (three (T-shaped))	Three (Y-shaped)	Single vehicle	45.68	45.76	45.74	38.50	38.78	38.74
		Angle	42.68	42.35	43.33	36.92	36.50	36.74
		Rear-end	45.54	45.69	45.54	38.43	38.63	38.40
		Other crash type	45.33	45.50	45.64	38.26	38.27	38.47
		Total number of crashes	44.52			37.80		
	Four	Single vehicle	-24.97	-25.02	-25.02	-26.94	-27.07	-27.06
		Angle	-24.11	-24.04	-24.34	-26.31	-26.12	-26.23
		Rear-end	-24.95	-24.98	-24.93	-26.92	-27.00	-26.89
		Other crash type	-24.85	-24.93	-24.96	-26.83	-26.85	-26.93
		Total number of crashes	-24.66			-26.65		
Type of traffic control (signal light)	Stop sign	Single vehicle	-75.36	-73.61	-73.39	-74.79	-75.49	-73.17
		Angle	217.17	255.73	212.51	201.73	238.30	212.79
		Rear-end	-65.75	-75.71	-70.61	-65.09	-74.81	-69.77
		Other crash type	-67.35	-77.13	-75.46	-66.99	-77.24	-74.64

	Total number of crashes	-13.02			-15.92		
Yield sign	Single vehicle	- 57. 94	- 57.76	- 57.52	- 60. 00	- 60.59	- 59.92
	Angle	87. 19	- 59.06	- 59.14	45. 07	- 62.46	- 61.43
	Rear-end	- 54. 99	- 58.06	- 56.59	- 57. 75	- 60.10	- 58.84
	Other crash type	- 55. 17	- 58.68	- 57.92	- 57. 95	- 61.07	- 59.92
	Total number of crashes	-43.16			-49.56		
Center stripe or divider	Single vehicle	- 47. 59	- 47.52	- 47.46	- 48. 92	- 48.97	- 48.89
	Angle	- 47. 55	- 47.63	- 47.56	- 49. 08	- 49.13	- 48.96
	Rear-end	- 47. 57	- 47.48	- 47.62	- 48. 92	- 48.91	- 48.96
	Other crash type	- 47. 53	- 47.83	- 47.56	- 48. 90	- 49.11	- 48.90
	Total number of crashes	-47.58			-48.96		
Other traffic control	Single vehicle	- 27. 37	- 27.33	- 27.28	- 31. 39	- 31.43	- 31.36
	Angle	- 27. 33	- 27.38	- 27.35	- 31. 50	- 31.54	- 31.41
	Rear-end	- 27. 36	- 27.30	- 27.40	- 31. 39	- 31.38	- 31.42
	Other crash type	- 27. 33	- 27.53	- 27.35	- 31. 37	- 31.53	- 31.37
	Total number of crashes	-27.36			-31.42		



		Single vehicle	- 69. 24	- 69.16	- 69.12	- 70. 30	- 70.34	- 70.29
		Angle	- 69. 25	- 69.34	- 69.24	- 70. 49	- 70.54	- 70.36
		Rear-end	- 69. 23	- 69.14	- 69.28	- 70. 31	- 70.30	- 70.34
		Other crash type	- 69. 20	- 69.52	- 69.22	- 70. 29	- 70.50	- 70.29
	No traffic control or minimal traffic control	Total number of crashes	-69.25			-70.35		

**Table 7: Elasticity effects -- Aggregate change in expected number of crashes (cont.)**

Variable		Crash type/Injury severity level	Joint model			Independent model		
			No injury	Possible injury	Confirmed injury	No injury	Possible injury	Confirmed injury
Major road characteristics								
Number of lanes (two)	Four	Single vehicle	-17.24	-17.76	-16.50	-26.66	-28.78	-25.96
		Angle	-16.05	184.45	374.27	-30.68	131.50	258.71
		Rear-end	-9.96	-17.79	-14.28	-20.72	-27.01	-24.11
		Other crash type	-11.17	-16.25	-17.09	-21.82	-24.05	-26.29
		Total number of crashes	18.71			0.00		
Traffic conditions	Average daily entering traffic volume (veh/day)	Single vehicle	-1.08	-0.99	-1.07	-0.52	-0.51	-0.51
		Angle	-1.07	-1.13	-0.97	-0.38	-0.41	-0.38
		Rear-end	-1.00	-1.03	-1.04	-0.41	-0.51	-0.47
		Other crash type	-1.00	-3.25	-1.08	-0.43	-4.05	-0.52
		Total number of crashes	-0.81			-0.19		
Surface width (feet)		Single vehicle	-0.17	-0.01	-0.13	-0.58	-0.43	-0.58
		Angle	-13.04	-0.15	-19.62	-11.58	-1.05	-19.38
		Rear-end	-0.11	-0.11	-0.08	-0.57	-0.52	-0.51
		Other crash type	-0.10	-0.16	-0.11	-0.56	-0.72	-0.53
		Total number of crashes	0.75			0.00		
Shoulder width (feet)	Inside shoulder	Single vehicle	0.08	0.13	-3.49	0.12	0.16	-3.61
		Angle	0.03	0.04	0.05	0.05	0.06	0.07
		Rear-end	0.05	0.07	0.10	0.09	0.11	0.15

		Other crash type	0.04	0.08	0.07	0.08	0.12	0.12
		Total number of crashes	-0.03			0.00		
	Outside shoulder	Single vehicle	0.20	- 3.23	0.20	0.34	- 3.41	0.33
		Angle	0.09	0.11	0.13	0.15	0.18	0.20
		Rear-end	0.10	- 2.56	0.19	0.22	- 2.62	0.33
		Other crash type	0.10	0.20	21.47	0.23	0.35	0.34
		Total number of crashes	-0.09			0.00		

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